



Docket No.  
061801/1061

SBP/IGD

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: James P. Davidowitz, et al.

Group Art Unit: 3624

Application No.: 10/615,428

Examiner: Not Yet Known

Filed: July 7, 2003

For: **METHOD AND SYSTEM FOR INITIATING PAIRS TRADING ACROSS  
MULTIPLE MARKETS HAVING AUTOMATIC FOREIGN EXCHANGE  
PRICE HEDGE**

Date: March 18, 2005

**CERTIFICATE OF MAILING**  
**BY "FIRST CLASS MAIL" (37 C.F.R. § 1.8)**

**Mail Stop Amendment**

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence:

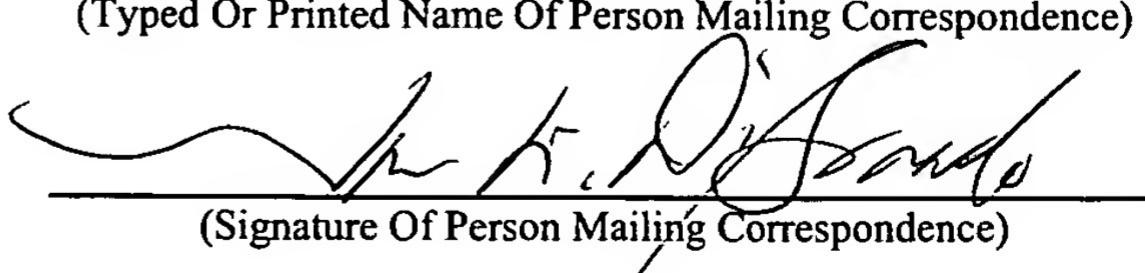
**Return Postcard; Information Disclosure Statement (2 pgs); PTO/SB/08A and 08B (2 pgs); and  
International Search Report for PCT/US2003/21099**

is being deposited on March 18, 2005 with the United States Postal Service  
as first class mail in an envelope bearing sufficient postage thereon and addressed to:

**Mail Stop Amendment  
Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450.**

**Ian G. DiBernardo**

(Typed Or Printed Name Of Person Mailing Correspondence)

  
(Signature Of Person Mailing Correspondence)

Docket No.  
061801/1061  
SBP/IGD

IN THE UNITED STATES PATENT DESIGNATED/ELECTED OFFICE

Applicants: **James P. Davidowitz, et al.** Group Art Unit: 3624

Application No.: **10/615,428** Examiner: **Not Yet Assigned**

Filed: **July 7, 2003**

For: **METHOD AND SYSTEM FOR INITIATING PAIRS TRADING ACROSS  
MULTIPLE MARKETS HAVING AUTOMATIC FOREIGN EXCHANGE  
PRICE HEDGE**

Date: **March 18, 2005**

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO/SB/08A and 08B.

The two references were cited in the International Search Report prepared during the international processing of International Application No. PCT/US03/21099, which is the counterpart to the instant application. For the Examiner's convenience, a copy of the International Search Report is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of these references.

In accordance with 37 CFR § 1.98(a)(2) (ii) as revised at 69 Fed. Reg. 56481, (September 21, 2004), copies of the cited U.S. patent application(s) and/or U.S. patent(s) have not been submitted.

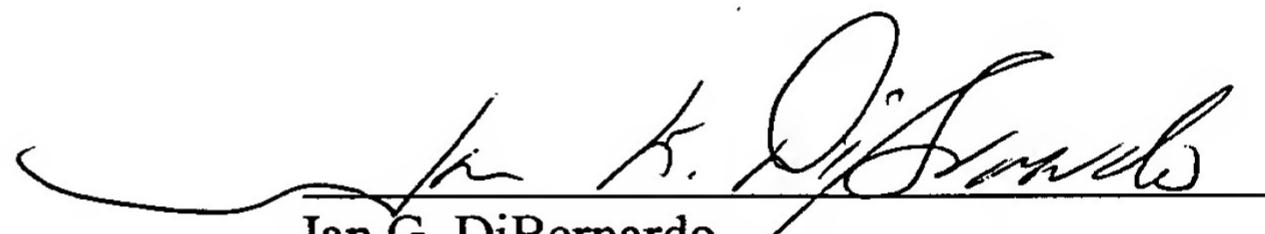
This Information Disclosure Statement is being filed before the mailing of a first Office Action on the merits.

Accordingly, no fee is believed to be due. Nevertheless, the Commissioner is authorized to charge any fees, which may now or hereafter be due in connection with this application to Deposit Account No. 19-4709, as necessary.

It is respectfully requested that the Examiner consider the above information and that a copy of the enclosed Form PTO/SB/08A and 08B be returned indicating that such information has been considered.

Favorable consideration and prompt allowance of this application is respectfully requested. In the event that there are any questions, or should additional information be required, please do not hesitate to contact applicants' attorney at the number listed below.

Respectfully submitted,



Ian G. DiBernardo  
Registration No. 40,991  
Attorney for Applicants  
STROOCK & STROOCK & LAVAN  
LLP  
180 Maiden Lane  
New York, New York 10038-4982  
(212) 806-5400



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

**U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE**  
to a collection of information unless it contains a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(Use as many sheets as necessary)**

Shee

1 of 2

<b><i>Complete if Known</i></b>	
Application Number	<b>10/615,428</b>
Filing Date	<b>July 7, 2003</b>
First Named Inventor	<b>James P. Davidowitz</b>
Art Unit	<b>3624</b>
Examiner Name	<b>Not Yet Assigned</b>
Attorney Docket Number	<b>061801/1061</b>

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

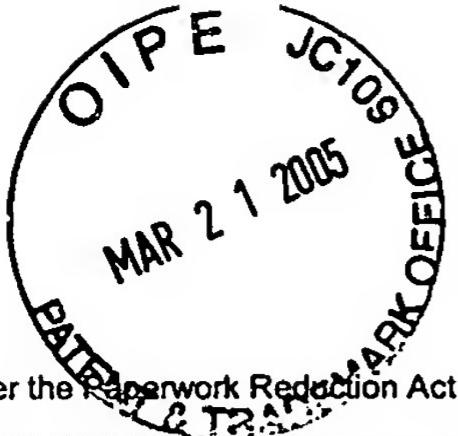
Examiner Signature	Date Considered
-----------------------	--------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

SSL-DOCS1 1554387v1



PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

~~Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.~~

Substitute for form 1449B/PTO				<i>Complete if Known</i>	
				<i>Application Number</i>	<b>10/615,428</b>
				<i>Filing Date</i>	<b>July 7, 2003</b>
				<i>First Named Inventor</i>	<b>James P. Davidowitz</b>
				<i>Art Unit</i>	<b>3624</b>
				<i>Examiner Name</i>	<b>Not Yet Assigned</b>
				<i>Attorney Docket Number</i>	<b>061801/1061</b>
Sheet	<b>2</b>	of	<b>2</b>		

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		<b>International Search Report dated November 3, 2003, in PCT/US2003/21099</b>	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**1** Applicant's unique citation designation number (optional). **2** Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*